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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
08/930,980	08-07-1997	THOMAS D. PETITE	81607-1012	3165

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EXAMINER

KIM, AHSHIK

ART UNIT PAPER NUMBER

2876

DATE MAILED: 04-09-2003

Please find below and/or attached an Office communication concerning this application or proceeding.

## Office Action Summary

Application No.	Applicant(s)	
08/910,980	PETITE, THOMAS D.	
Examiner	Art Unit	
Ahshik Kim	2876	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

1) Responsive to communication(s) filed on 03/27/02 (RCE & Prelim Amend).

2a) This action is **FINAL**.      2b) This action is non-final.

3) Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

4) Claim(s) 17-36 is/are pending in the application.

4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.

5) Claim(s) \_\_\_\_\_ is/are allowed.

6) Claim(s) 17-36 is/are rejected.

7) Claim(s) \_\_\_\_\_ is/are objected to.

8) Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

9) The specification is objected to by the Examiner.

10) The drawing(s) filed on 19 April 1999 is/are: a) accepted or b) objected to by the Examiner.

Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

11) The proposed drawing correction filed on \_\_\_\_\_ is: a) approved b) disapproved by the Examiner.

If approved, corrected drawings are required in reply to this Office action.

12) The oath or declaration is objected to by the Examiner.

### Priority under 35 U.S.C. §§ 119 and 120

13) Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

a) All b) Some \* c) None of:

1. Certified copies of the priority documents have been received.
2. Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

14) Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).

a) The translation of the foreign language provisional application has been received.

15) Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

### Attachment(s)

1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)	4) <input type="checkbox"/> Interview Summary (PTO-413) Paper No(s). _____
2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)	5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)
3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449) Paper No(s) _____	6) <input type="checkbox"/> Other: _____

**DETAILED ACTION**

***Continuation Data***

1. Acknowledged this application is a continuation-in-part application of U.S. Serial No. 5 08/895,720, filed on July 17, 1997, which is continuation-in-part application of U.S. Serial No. 08/825,576, filed on March 31, 1997. Further Acknowledged this application claims the benefit of provisional application Serial No. 60/040,316 filed on February 14, 1997.

***Continued Examination Under 37 CFR 1.114***

10 2. A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on September 27, 2002 has been entered (paper 15 #16).

***Preliminary Amendment***

3. Receipt is acknowledged of the preliminary amendment filed on September 27, 2002 20 (paper #17). In the amendment, claims 1-16 are canceled, and claims 17-36 are newly added. Accordingly, claims 17-36 remain for examination.

***Claim Rejections - 35 USC § 102***

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

5 (b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

4. Claims 17-27 and 30-36 are rejected under 35 U.S.C. 102(b) as being anticipated by Parienti (US 5,189,287).

Re claims 17, 20, 23, 26, 27, 30, 32, and 34-36, Parienti teaches a system for transmitting 10 billing information (col. 3, lines 49+) comprising a portable remote access unit 1 which communicates with a terminal 11 via infrared (col. 3, lines 12+). As further described (see abstract; col. 2, lines 18+), the portable unit contains memory area to retain permanent data relating to the user. The unit further contains an alphanumeric keyboard 4, and a display screen (col. 2, lines 35+) will guide them for various transactions. Although Parienti does not explicitly 15 suggest of a transmit button, the unit 1 is capable of transmitting and receiving the data from the host or exchange data with other portable units (col. 4, lines 1-30). In triggering such transmittal and/or receipt of data, the device should have a key (may be a hard key or soft key) to initiate data transmission. The portable unit, the host, and other component parts of the system are equipped with necessary software to execute assigned tasks. For example, the device should 20 contain card-reading software, infrared transmission software, keyboard software, etc.

Re claims 18 and 19, in the embodiment wherein the unit is used as a payment terminal (see figure 5, col. 3, lines 49+), the unit contains an identification data, which may be a bank account number, credit card number or long distance billing account number.

Re claims 22 and 33, although Parienti is silent on formatting data or structure of the data packet, in order to initiate and fulfill payment or other type of transaction, it is inherent that data being transmitted contains all necessary parts (i.e., identification information, transactional information, payment information, etc.) for the financial institutions to approve/disapprove 5 transactions.

Re claim 24, the communication between a portable terminal and the host can be achieved utilizing a telephone line (see abstract; col. 1, lines 16+).

Re claim 25, as illustrated in figure 6A and 6B, one can reasonably suggest that the distance between the terminal 11 and the portable unit 1 is within several feet.

10 Re claim 31, as shown in figure 5, a bank card (magnetic card) 15 can be used with the portable unit.

#### ***Claim Rejections - 35 USC § 103***

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all 15 obviousness rejections set forth in this Office action:

20 (a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

5. Claims 28 and 29 are rejected under 35 U.S.C. 103(a) as being unpatentable over Parienti (US 5,189,287) in view of Tait et al. (US 5,550,358). The teachings of Parienti have been discussed above.

Although a conventional credit card transaction and bank card transaction disclosed in Parienti (col. 3, lines 49+) require the users to enter a PIN number, Parienti fails to specifically teach or fairly suggest of authorizing use of the communication device.

Tait teaches a remote wireless transaction system (see abstract), which allows transaction 5 to proceed (and in turn the use of the device) only after user-provided PIN number is verified (see abstract; col. 2, lines 17). Tait also teaches wireless communication utilizes radio frequency signal (col. 3, lines 30+) as recited in claim 29.

In view of Tait's teaching, it would have been obvious to an ordinary skill in the art at the time the invention was made to employ notoriously old and well-known PIN number or other 10 means of user verification (i.e., password, biometric verification) to the teachings of Parienti in order to ensure that user-sensitive information can only be used after verifying authenticity of the user. Such layer of protection or user authentication is well known in the art, and widely used in various embodiments. Since the transaction can proceed only after successful verification, use of the transaction device is not permitted if such authentication process fails. As further suggested 15 by Tait, use of infrared or radio frequency can be considered functionally equivalent to one ordinary skill in the art.

### *Conclusion*

- I. The prior art made of record and not relied upon is considered pertinent to applicant's 20 disclosure: Kurgan (US 5,325,429); Falk et al. (US 5,668,876); Larkins (US 6,295,291); Sizer, II et al. (US 6,036,086); disclose wireless devices for performing various transactions.
- II. Any inquiry concerning this communication or earlier communications from the examiner should be directed to *Ahshik Kim* whose telephone number is (703)305-5203 . The

examiner can normally be reached between the hours of 6:00AM to 3:00PM Monday thru Friday.

5 If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Michael G. Lee, can be reached on (703) 305-3503. The fax number directly to the Examiner is (703) 746-4782. The fax phone number for this Group is (703)308-7722, (703)308-7724, or (703)308-7382.

10 Communications via Internet e-mail regarding this application, other than those under 35 U.S.C. 132 or which otherwise require a signature, may be used by the applicant and should be addressed to [ahshik.kim@uspto.gov].

15 *All Internet e-mail communications will be made of record in the application file. PTO employees do not engage in Internet communications where there exists a possibility that sensitive information could be identified or exchanged unless the record includes a properly signed express waiver of the confidentiality requirements of 35 U.S.C. 122. This is more clearly set forth in the Interim Internet Usage Policy published in the Official Gazette of the Patent and Trademark on February 25, 1997 at 1195 OG 89.*

20 Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the Group receptionist whose telephone number is (703) 308-0956.

25 Ahshik Kim  
Patent Examiner  
Art Unit 2876  
April 3, 2003



MICHAEL G. LEE  
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